

02-15-02

A.

PTO/SB/05 (11-00)

Please type a plus sign (+) inside this box → ☐

Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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UTILITY  
PATENT APPLICATION  
TRANSMITTAL

Attorney Docket No. NREL 99-22

First Inventor Anne C. Dillon

Title HIGHLY PURIFIED SINGLE-WALL CARBON NANOTUBES  
AND PRODUCTION THEREOF

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Express Mail Label No. EJ 200219689 US

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

## ADDRESS TO:

Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☒ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 18]  
(preferred arrangement set forth below)
- Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if Red)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 4]
5. Oath or Declaration [Total Pages 2]
- a. ☒ Newly executed (original or copy)
- b. ☐ Copy from a prior application (37 CFR 1.63 (d))  
(for continuation/divisional with Box 18 completed)
1. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s)  
named in the prior application, see 37 CFR  
1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

7. ☐ CD-ROM or CD-R in duplicate, large table or  
Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)
- a. ☐ Computer Readable Form (CRF)
- b. Specification Sequence Listing on:
1. ☐ CD-ROM or CD-R (2 copies); or
11. ☐ paper
- c. ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement of Power of Attorney  
(when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☒ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☐ Request and Certification under 35 U.S.C. 122  
(b)(2)(13)(i). Applicant must attach form PTO/SB/35  
or its equivalent.
17. ☐ Other: \_\_\_\_\_

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76.

☐ Continuation ☐ Divisional ☒ Continuation-in-part (CIP)

of prior application No.: PCT/US00 / 22034

Prior application information:

Examiner:

Group Art Unit:

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label

(Insert Customer Number or Attach bar code label here)

or ☐ Correspondence address below

Name	Paul J. White				
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Name (Print/Type)	Paul J. White	Registration No. (Attorney/Agent)	30,436
Signature	Paul J. White	Date	02/12/02

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

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**FEE TRANSMITTAL**

Patent fees are subject to annual revision on October 1.

These are the fees effective October 1, 1997.

Small Entity payments must be supported by a small entity statement, otherwise large entity fees must be paid. See Forms PTO/SB/09-12  
See 37 C.F.R. §§ 1.27 and 1.28.**Complete if Known**

Application Number	Not Yet Accorded
Filing Date	Not Yet Accorded
First Named Inventor	Anne C. Dillon
Examiner Name	Not Yet Accorded
Group / Art Unit	Not Yet Accorded
Attorney Docket No.	NREL 99-22

**TOTAL AMOUNT OF PAYMENT** (\$ 469.00)**METHOD OF PAYMENT (check one)**

- 1.
- ☒
- The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account Number 14-0460

Deposit Account Name National Renewable Energy Lab.

- ☒
- Charge Any Additional Fee Required Under 37 C.F.R. §§ 1.16 and 1.17
- ☐
- Charge the Issue Fee Set in 37 C.F.R. § 1.18 at the Mailing of the Notice of Allowance

- 2.
- ☐
- Payment Enclosed:
- 
- ☐
- Check
- ☐
- Money Order
- ☐
- Other

**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
101	790	201 395 Utility filing fee	370.00
106	330	206 165 Design filing fee	
107	540	207 270 Plant filing fee	
108	790	208 395 Reissue filing fee	
114	150	214 75 Provisional filing fee	

**SUBTOTAL (1)** (\$ 370.00)**2. EXTRA CLAIM FEES**

	Extra Claims	Fee from below	Fee Paid
Total Claims	31 -20**= 11	X \$ 9	99.00
Independent Claims	3 -3**= 0	X \$42	
Multiple Dependent			

\*or number previously paid, if greater; For Reissues, see below

**Large Entity Small Entity**

Fee Code (\$)	Fee Code (\$)	Fee Description
103	22 203 11	Claims in excess of 20
102	82 202 41	Independent claims in excess of 3
104	270 204 135	Multiple dependent claim, if not paid
109	82 209 41**	Reissue independent claims over original patent
110	22 210 11**	Reissue claims in excess of 20 and over original patent

**SUBTOTAL (2)** (\$ 99.00)**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105	130 205 65	Surcharge - late filing fee or oath	
127	50 227 25	Surcharge - late provisional filing fee or cover sheet.	
139	130 139 130	Non-English specification	
147	2,520 147 2,520	For filing a request for reexamination	
112	920* 112 920*	Requesting publication of SIR prior to Examiner action	
113	1,840* 113 1,840*	Requesting publication of SIR after Examiner action	
115	110 115 55	Extension for reply within first month	
116	400 216 200	Extension for reply within second month	
117	950 217 475	Extension for reply within third month	
118	1,510 218 755	Extension for reply within fourth month	
128	2,060 228 1,030	Extension for reply within fifth month	
119	310 219 155	Notice of Appeal	
120	310 220 155	Filing a brief in support of an appeal	
121	270 221 135	Request for oral hearing	
138	1,510 138 1,510	Petition to institute a public use proceeding	
140	110 240 55	Petition to reive - unavoidable	
141	1,320 241 660	Petition to reive - unintentional	
142	1,320 242 660	Utility issue fee (or reissue)	
143	450 243 225	Design issue fee	
144	670 244 335	Plant issue too	
122	130 122 130	Petitions to the Commissioner	
123	50 123 50	Petitions related to provisional applications	
126	240 126 240	Submission of Information Disclosure Stmt	
581	40 581 40	Recording each patent assignment per property (times number of properties)	
146	790 246 395	Filing a submission after final rejection (37 CFR 1 1 29(a))	
149	790 249 395	For each additional invention to be examined (37 CFR 1 1 29(b))	
Other fee (specify)			
Other fee (specify)			

\*Reduced by Basic Filing Fee Paid

**SUBTOTAL (3)** (\$ )**SUBMITTED BY**

Typed or Printed Name Paul J. White, Senior Patent Counsel

Signature Paul J. White

Date 02/12/02

**Complete (if applicable)**

Reg. Number 30,436

Deposit Account User ID

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